



The Project Work Planning, Budgeting and Reporting

Presented by : Project Coordinating Unit (PCU)

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1. Documentation and Report Format for the Project

Project Document

- The project will follow **UNEP standard** monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8 of the project document. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.

1. Documentation and Report Format for the Project(Cont.)

TASKs by THE NATIONAL LEAD AGENCIES

- Prepare and facilitate endorsement, by the National Fisheries *Refugia* Committee (NFRC), of quarterly costed work plans to guide the execution of national and site-based activities of the project;
- Submit endorsed quarterly national costed work plans together with a cash advance request in the format attached as Annex 2 to this document to the Project Coordinating Unit at SEAFDEC at least five (5) working days before the commencement of each quarter (i.e. Quarter 1 is January-March; Quarter 2 is April-June; Quarter 3 is July-September; Quarter 4 is October-December).
- Prepare and submit quarterly progress reports (Annex 3), expenditure reports (Annex 4), and cash advance requests (Annex 2) for endorsement by the NFRC and subsequent submission to the Project Coordinating Unit at SEAFDEC at least five (5) working days before the end of each quarter;
- Prepare annual progress reports on national-level activities (Annex 5) and results of efforts to establish operational management of priority fisheries *refugia* sites in [INSERT COUNTRY NAME];

1. Documentation and Report Format for the Project(Cont.)

- Maintain accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available to ensure that all expenditures are in conformity with the provisions of the National Project Document and costed work plans endorsed by the National Fisheries *Refugia* Committee. For each disbursement, proper supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction.
- Provide SEAFDEC with certified periodic financial statements, **reports on cofinancing received** (Annex 6) and with an annual audit of the financial statements relating to the status of SEAFDEC/UNEP/GEF project funds as at 31 December each year. This should be reported in an opinion by a recognised firm of public accountants (for a government, by Government auditors), which shall be dispatched to SEAFDEC by 31 March. In particular, the auditors should be asked to report whether, in their opinion: proper books of account and records have been maintained; all project expenditures are supported by vouchers and adequate documentation; and, expenditures have been incurred in accordance with the objectives outlined in the National Project Document for [INSERT COUNTRY NAME] (Annex 1).

1. Documentation and Report Format for the Project(Cont.)

Documentation	Authorizations/Endorsement	Support document	Timeline
Quarterly Costed Work Plans	NFRC		Endorsed during NFRC meeting
Cash Advance Request	Signed by Focal Point		5 Days before start of each quarter
Quarterly Progress Report	Signed by Focal Point	Report	5 Days before end of each quarter
Quarterly Expenditure Report	Signed by Focal Point	Report	5 Days before end of each quarter
Annual report Progress Towards Achieving the Project Objectives			End of the year
Annual Cofinancial Report	Signed by Focal Point	Adequate Documentation	End of the year

2. Work Plans Document

- Referring to the national work plan and timetable for national level activities of Component of the SEAFDEC/UNEP/GEF Fisheries Refugia Project in each country.
- WP 4.1

	Activity Description	YEAR 1> 2017				YEAR 2> 2018				YEAR 3> 2019				YEAR 4> 2020			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
COMPONENT 1: Identification and management of fisheries and critical habitat linkages at priority fisheries <i>refugia</i> in the South China Sea																	
1.1	Developing fisheries and coastal habitat information and data collection programmes for 14 priority fisheries <i>refugia</i> sites (underpins Outcome 3.5)																
1.1.1.	Review existing information and data on fisheries and coastal habitats at 14 sites, including needs for management interventions identified																
1.1.2	National consultation workshops to secure community and fisherfolk support in information & data collection																
1.1.3	Design and conduct site-based surveys to produce fisheries and habitat profile report for 14 sites																
1.1.4	Design and conduct fisheries surveys at 14 sites and submit data to a national & regional online database																
1.2	Facilitating agreement among stakeholders on the boundaries of fisheries <i>refugia</i> at 14 priority fisheries <i>refugia</i> sites																
1.2.1	Conduct consultations (including at-sea) to draft maps of fisheries <i>refugia</i> for priority species at 14 sites																
1.2.2	Prepare maps for 14 <i>refugia</i> and elicit fisherfolk input to boundary delineation through consultation																
1.2.3	Conduct assessment of environmental and social impacts of <i>refugia</i> designation at 14 locations																
1.2.4	Secure formal government designation of sites as fisheries <i>refugia</i> at 14 priority locations																
1.3	Developing Community-Based Management Plans for 14 priority fisheries <i>refugia</i> sites																
1.3.1	Consultations to identify key threats to fisheries <i>refugia</i> sites and identify management measures																
1.3.2	Management plans for 14 sites developed through community-based consultations																

2. Work Plans Document(Cont.)

- UNEP
Format
Budget
Code

NB: The expenditures should be reported in line with the specific object of expenditures as per project budget	
Object of Expenditure in accordance with UNEP Budget codes	
Code	Description
10	PROJECT PERSONNEL COMPONENT
1100	Project Personnel w/m
1200	Consultants w/m
1600	Travel on official business (above staff)
20	SUB-CONTRACT COMPONENT
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)
2300	Sub-contracts (commercial purposes)
30	TRAINING COMPONENT
3200	Group training (study tours, field trips, workshops, seminars, etc)
3300	Meetings/conferences (give title)
40	EQUIPMENT & PREMISES COMPONENT
4100	Expendable equipment (items under \$1,500 each, for example)
4200	Non-expendable equipment (computers, office equip, etc)
4300	Premises (office rent, maintenance of premises, etc)
50	MISCELLANEOUS COMPONENT
5100	Operation and maintenance of equip.
5200	Reporting costs (publications, maps, newsletters, printing, etc)
5300	Sundry (communications, postage, freight, clearance charges, etc)
5400	Hospitality and entertainment
5500	Evaluation (consultants fees ETC)

2. Work Plans Document(Cont.)

- UNEP Format Costed Workplans

THREE-MONTHLY (QUARTERLY) PROJECT EXPENDITURE ACCOUNT FOR NATIONAL LEAD AGENCIES
Project Statement of allocation (Budget), expenditure and balance (Expressed in US\$) covering the period
from January to March 2017

National Lead Agency:

Insert Name of National Lead Agency

MoU Number:

SEAFDEC/UNEP/GEF/Country/MoU Number

Project Title:

South China Sea Fisheries Refugia Initiative

Project commencing:

January 2017

Project ending:

December 2021

		NB: The expenditures should be reported in line with the specific object of expenditures as per project budget	Project budget allocation for the 3-month period	Expenditure incurred for the three-month period	Unspent balance of budget for the three-month period
			(Insert dates)	(Insert dates)	(Insert dates)
Object of Expenditure in accordance with UNEP Budget codes			Amount (1)	Amount (2)	Amount (1-2)
Code	Description		Jan-Mar 2017	Jan-Mar 2017	Jan-Mar 2017
1000	PROJECT PERSONNEL COMPONENT				
1100	Project Personnel				
1101	Insert object of expenditure (add lines as required)		0.00		
1199	Total		0.00		
	1999 Component Total		0.00		
3000	TRAINING COMPONENT				
3300	Meetings/conferences				
3301	Insert object of expenditure (add lines as required)		0.00		
3999	Component Total		0.00		
5000	MISCELLANEOUS COMPONENT				
5200	Reporting costs				
5201	Insert object of expenditure (add lines as required)		0.00		
5299	Total		0.00		
	5999 Component Total		0.00		
9999	Project Total		0.00		

3. Budgeting & Cash Advance Request

- Cash advance Request

ANNEX 2 - CASH ADVANCE REQUEST (Part B)

Statement of cash advance as at December 31, 2016

And cash requirements for the three month period ending June 31, 2017

Name of National Lead Agency **Insert Name**

MoU No. **SEAFDEC/UNEP/GEFCountry/MoU Number**

Project title : **Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand**

I Cash Statement :

1	Opening Cash Balance as at Date	US\$	
2	Add : cash advances received		
3	Total cash advanced to date	US\$	
4	Less : total cumulative expenditures incurred Period: January 1 - March 31 2017	US\$	
	Total expenditure as at March 31, 2017	US\$	0
5	Closing cash balance as at 31/3/2017	US\$	0

II Cash requirements forecast

6	Estimated disbursements for period ending June 30, 2017	US\$	
7	Less : closing cash balance (item 5, above)	US\$	0
8	Total cash requirements for the period ending June 30, 2017	US\$	0

Prepared by Request approved by :

Name : **Insert Name** **Insert Name**
Insert Role National Focal Point
 Date: Date:
 Remark :

4. Quarterly report

- Quarterly Progress Report

SEAFDEC/UNEP/GEF/Country

**SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER
SOUTH CHINA SEA FISHERIES REFUGIA INITIATIVE
THREE MONTHLY PROGRESS REPORT**

SECTION 1 - BACKGROUND INFORMATION

1.1 Project Title: _____

1.2 Agreement: SEAFDEC/UNEP/GEF/Country

1.3 Responsible Office: UNEP/GEF Project Coordinating Unit, SEAFDEC

1.4 Lead Agency (Supporting Organization): Name of Lead Agency

1.5 Reporting Period: Quarterly Period

1.6 Focal Point Name: Name of Focal Point

SECTION 2 - PROJECT STATUS

2.1 Status of the Implementation of the Activities and Outputs Listed Under the Workplan in the Memorandum of Understanding (check appropriate box)

Project activities and outputs listed in the Project workplan for the reporting period have been materially completed and the responsible Office is satisfied that the project will be fully completed on time (give reasons for minor variations as Section 3 below).

Project activities and outputs listed in the Project Workplan for the reporting period have been altered (give reasons for alterations, lack of finance, project reformulated, project revisions, other at Section 3 below).

Project activities and outputs listed in the Project Workplan for the reporting period have not been fully completed and delays in project delivery are expected (give reasons for variations in Section 3.1 and new completion date in Section 3.2 below).

Insufficient detail provided in the Project Workplan.

2.2 List Actual Activities/Outputs Achieved in the Reporting period: (check appropriate box)

(a) **MEETINGS** (Duplicate this box for each meeting individually)

Committee Mtg Consultation Mtg Training Seminar/Workshop Others

Title _____
Venue and dates _____
Convened by _____ Organized by _____ Dated _____
Report issued as doc: No/Symbol _____ Languages _____ Dated _____

Please indicate: No. of participants: _____ and attach **annex** giving names, gender of participants and meeting summary.

Please indicate co-financing as follows:
Source: _____
Cash (US\$) _____
In-Kind (person days) _____

1

(b) **PRINTED MATERIALS** (Duplicate this box for each printed item)

Committee Report Technical Publication Technical Report Others

Title: _____
Author(s)/Editor(s) _____
Publisher _____
Symbol (ISIRI) _____
Date of publication _____

(When technical reports/publications have been distributed, **attach distribution list**)

Please indicate co-financing as follows:
Source _____
Cash (US\$) _____
In-Kind (person days) _____

(c) **TECHNICAL INFORMATION** **PUBLIC INFORMATION** (posters, leaflets, broadcasts etc.) (Duplicate this box for each item)

Description _____
Dates _____

Please indicate co-financing as follows:
Source _____
Cash (US\$) _____
In-Kind (person days) _____

(d) **SERVICES** (surveys, technical assistance etc.) (Duplicate this box for each item)

Description _____
Dates _____

Please indicate co-financing as follows:
Source _____
Cash (US\$) _____
In-Kind (person days) _____

(e) **OTHER OUTPUTS** (Duplicate this box for each item)

Description _____
Dates _____

Please indicate co-financing as follows:
Source _____
Cash (US\$) _____
In-Kind (person days) _____

2

SEAFDEC/UNEP/GEF/Country

SECTION 3 - PROJECT DELIVERY

3.1 Summary of the Problems Encountered in Project Delivery (if any)

3.2 Actions Taken or Required to Solve the Problems (identified in Section 3.1 above)

SECTION 4 - PROJECT COORDINATING UNIT ASSISTANCE REQUIRED

4.1 Describe specific assistance you would like the PCU to provide in the next quarter.

Signed: _____
Name: _____
Designation: _____

3

4. Quarterly report(Cont.)

- Quarterly Expenditure Report

THREE-MONTHLY (QUARTERLY) PROJECT EXPENDITURE ACCOUNT FOR NATIONAL LEAD AGENCIES				
Project Statement of allocation (Budget), expenditure and balance (Expressed in US\$) covering the period from January to March 2017				
National Lead Agency:		Insert Name of National Lead Agency		
MoU Number:		SEAFDEC/UNEP/GEF/Country/MoU Number		
Project Title:		South China Sea Fisheries <i>Refugia</i> Initiative		
Project commencing:		January 2017		
Project ending:		December 2021		
NB: The expenditures should be reported in line with the specific object of expenditures as per project budget		Project budget allocation for the 3-month period	Expenditure incurred for the three-month period	Unspent balance of budget for the three-month period
Object of Expenditure in accordance with UNEP Budget codes		(Insert dates) Amount (1)	(Insert dates) Amount (2)	(Insert dates) Amount (1-2)
Code	Description	Jan-Mar 2017	Jan-Mar 2017	Jan-Mar 2017
1000	PROJECT PERSONNEL COMPONENT			
1100	Project Personnel			
1101	Insert object of expenditure (add lines as required)	0.00		
1199	Total	0.00		
1999	Component Total	0.00		
3000	TRAINING COMPONENT			
3300	Meetings/conferences			
3301	Insert object of expenditure (add lines as required)	0.00		
3999	Component Total	0.00		
5000	MISCELLANEOUS COMPONENT			
5200	Reporting costs			
5201	Insert object of expenditure (add lines as required)	0.00		
5299	Total	0.00		
5999	Component Total	0.00		
9999	Project Total	0.00		

5. Annual Report of Progress Towards Achieving the Project Objectives : Project Objectives and Outcomes

Annex 5 (a): Progress Towards Achieving the Project Objectives : Project Objectives and Outcomes

Project objective and Outcomes	Description of indicator ¹	Baseline level ²	Mid-term target ³	End-of-project target	Level at 30 June 20..
Objective ⁴	1.				
	2.				
	3.				
Outcome 1: (describe)					
Outcome 2: (describe)					
Outcome 3: (describe)					
Outcome 4: (describe)					
Outcome 5:					

¹ Add rows if your project has more than 3 key indicators per objective or outcome.

² Depending on selected indicator, quantitative or qualitative baseline levels and targets could be used (see Glossary included as Annex 1).

³ Many projects did not identify Mid-term targets at the design stage therefore this column should only be filled if relevant.

⁴ Add rows if your project has more than 4 objective-level indicators. Same applies for the number of outcome-level indicators.

5. Annual Report of Progress Towards Achieving the Project Objectives : Project Objectives and Outcomes(Cont.)

Annex 5 (b): Progress Towards Achieving the Project Objectives: Project Implementation Progress

Outputs ⁵	Expected completion date ⁶	Implementation status as of 30 June 20.. (%)
Output 1: (describe)		
Activity 1: (describe)		
Activity 2:		
Activity 3:		
Output 2:		
Activity 4:		
Activity 5:		
Activity 6:		
Output 3:		
Activity 7:		
Activity 8:		
Activity 9:		
Output 4:		
Activity 10:		
Activity 11:		
Activity 12:		
Output 5:		
Activity 13:		
Activity 14:		
Activity 15:		
Activity 16:		

⁵ Outputs and activities as described in the project logframe or in any updated project revision.

⁶ As per latest workplan (latest project revision)

6. Annual report of cofinancing

- Cost of a person time contributes to the meeting of the project
- 70 USD/Person

SEAFDEC/UNEP/GEF/Country

SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER
SOUTH CHINA SEA FISHERIES REFUGIA INITIATIVE
ANNUAL REPORT OF COFINANCING

(f) OTHER IN-KIND AND CASH CO-FINANCING TO THE PROJECT		
Sources of co-financing	In-kind Contribution (in person days)	Cash Contribution (in US\$)

7. Good Examples

- The 3 quarter of year 2017 of Cambodia

Thank you